

*The Committee to Approve Schedules for the
Retention and Disposition of Official State Records
The “State Records Committee”
Minutes for October 21, 2020*

1: Call to Order, Welcome, Roll Call

The meeting was called to order at 1:18 pm. The meeting was held through teleconference per Governor Sisolak’s issued [Declaration of Emergency Directive 006](#) regarding open meetings during the COVID-19 pandemic.

Committee Members:

Kimberley Perondi, for Barbara K. Cegavske, Secretary of State – Present

Jerry Lindsay, Governors Appointee – Present

Harry B. Ward, for Aaron Ford, Nevada Attorney General – Present

Tammy Westergard, Division Administrator, Nevada State Library, Archives and Public Records – Present

Maureen Martinez, for Laura Freed, Director for the Department of Administration – Present

Alisanne Maffei, for David Haws, Administrator, Enterprise Information Technology Services – Present

Staff:

Sara Martel, State Records Manager, Nevada State Library, Archives and Public Records – Present

Bobbie Church, Senior Records Analyst, Nevada State Library, Archives and Public Records – Present

Heather Hahn, Senior Records Analyst, Nevada State Library, Archives and Public Records – Present

Lewis Martin, Administrative Assistant II, Nevada State Library, Archives and Public Records – Present

Guests Present:

None

2: Public Comment

Comment may be limited to 5 minutes at the discretion of the Chair.

There was no public comment made by mail, email, or telephone leading up to or during the meeting.

3: Attachment A. Review and Approve the Minutes for September 9, 2020

Discussion and Vote:
The minutes were approved as presented. The motion was made by Harry Ward and the second was by Alisanne Maffei. The vote was unanimous.

4: Attachment B. Proposed New RDAs for Agency Specific Records Retention Schedules

1. The Medical Examiner’s Board

1. Title: *Medical Malpractice Reports – No Action Taken*

RDA: 2020002

Description:

These records document reports submitted to the Board regarding medical malpractice where no action is taken by the board to investigate the claim. The records may include but are not limited to: reports submitted by insurance companies, reports submitted by physicians, associated documentation, and related correspondence.

Authorized Retention:

Retain for ten (10) calendar years from the end of the calendar year in which the report was submitted to the Board.

Recommended Disposition:

Destroy Securely

Agency review:

The appraisal is supported by the Records Officer and the Deputy Executive Director of the Medical Examiner's Board.

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Justification for New RDA 2020002:

Staff recommends the addition of this records series to for the retention and disposition of malpractice reports that do not rise to the level of a malpractice investigation (General Schedule RDA 2006054 Licensing: Professional and Occupational Licensing – Investigations) in compliance with:

NRS 630.3067 Insurer of physician required to report certain information concerning malpractice; administrative fine for failure to report.

NRS 630.3068 Physician required to report certain information concerning malpractice and sanctions imposed against physician; administrative fine for failure to report; reports deemed public records.

The retention period of 10 years is to ensure compliance with NRS 630.173 which provides the Board with a 10 year period of time when considering an individual's application for licensing as it relates to malpractice.

Discussion and Vote:

The proposals in Attachment B were approved as presented. The motion was made by Harry Ward and the second was by Alisanne Maffei. The vote was unanimous.

5: Attachment C. Proposed Modification RDAs for Agency Specific Records Retention Schedules

1. The Medical Examiner's Board

A. Title: Applications - Denied, Incomplete or Withdrawn

RDA: 2006112

Description:

~~This~~ ***These*** records ~~series~~ documents the application process for licenses and certificates which have been denied due to incompleteness, those deemed unqualified, or for other reasons (See NRS chapter 630 and NAC chapter 630). The ~~records file~~ ***records*** may include; but ~~are is~~ ***are*** not limited to: applications, school transcripts, waivers, ~~a record of~~ ***documentation*** of fees paid, fingerprint cards, and ~~supportive documentation.~~ ***associated documentation, and related correspondence.***

Authorized Retention:

Retain ~~these records~~ for a period of five (5) calendar years from the ***end of the calendar year in which the application was denied or the validity period expired.*** ~~date of denial or from the expiration of the validity period of the application.~~

Recommended Disposition:

Destroy Securely

Agency review:

The appraisal is supported by the Records Officer and the Deputy Executive Director of the Medical Examiner's Board.

NSLAPR staff recommendation:

The retention period meets administrative values.

Justification for Modification of RDA 2006112:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. Staff recommends the deletion of "date of denial or from the expiration of the validity period of the application." and replacing it with "end of the calendar year in which the application was denied or the validity period expired." in order to establish as more consistent and defined trigger event. In addition, staff recommends removing "these records" and "a period of" to establish a more concise and accurate trigger event.

2. Department of Administration, Human Resource Management, Compensation, Classification and Recruitment

A. Title: Biennial Salary Survey

RDA: 2002114

Description:

~~This record series administers and documents~~ ***These records document*** the salary survey that the Department of Personnel Division of Human Resource Management conducts ***(NRS 284.175 (5))***. ~~(see The files consist of surveys, work papers, backup documents, notes, correspondence and the printed report. The printed report consists of~~ ***The records may include but are not limited to:*** salary comparisons for ~~(1) all employees within the State of Nevada (public and private), (2) all Nevada employers, (3) compilations from Western States, (4) occupational study classes, (5) special survey classes, and (6) a benefits comparison report, surveys, work papers, backup documents,~~ ***associated documentation, and related correspondence.*** ~~NRS 284.175 (5)~~

Authorized Retention:

~~Retain the files~~ for six (6) calendar years from the end of the calendar year in which the study was conducted.

Recommended Disposition:

Permanent: Transfer to State Archives

NSLAPR staff recommendation:

The retention period meets administrative, archival, and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 2002114:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing "the files" in the retention statement to make a more concise trigger event.

B. Title: Certification Lists

RDA: 1987022

Description:

~~These are the lists of~~ ***These records document*** eligible applicants for a position, sent to agencies for interviews and consideration for the job opening. ~~The list is also used as a~~ ***The records may include but are not limited to:*** master list of eligible persons, ~~which is maintained should the position (or a similar one) be opened again.~~ ***associated documentation, and related correspondence.***

Authorized Retention:

Retain ~~these records for a period of~~ three (3) calendar years from the *end of the calendar year in which the list was issued.* ~~issuance of the list.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 1987022:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “issuance of the list.” and replacing it with “end of the calendar year in which the list was issued.” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

C. Title: Class Specification History Files

RDA: 2002113

Description:

~~This record series administers and documents~~ ***These records document*** the official class specification descriptions and pay grades authorized by the Personnel Commission for employees within the State Personnel System. ~~The files also contain the~~ ***The records may include but are not limited to:*** historical actions of changes to the class specifications, over the years. ~~The files may contain:~~ official class specifications, change forms (Classification File Maintenance form), Advantage system input documentation, and recommendation statements (justification for changes made to the class specifications), ***associated documentation, and related correspondence.***

Authorized Retention:

Retain for ~~a period of~~ five (5) calendar years from the end of the calendar year in which the class was abolished.

Recommended Disposition:

Permanent: Transfer to State Archives

NSLAPR staff recommendation:

The retention period meets administrative, archival, and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 2002113:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “a period of” in the retention statement to make a more defined and accurate trigger event.

D. Title: Classification and Compensation Plan

RDA: 2002138

Description:

~~This record series is~~ ***These records consist of*** the master charts of all position classification ***classes*** (along with the compensation code) within the classified service of the executive branch of government ~~as required by (NRS 284.160).~~

~~The files contain the~~ ***The records may include but are not limited to:*** actual classification plan authorized by the Personnel Commission (NRS 284.160 (4)), ***associated documentation, and related correspondence.***

Authorized Retention:

Retain ~~a period of~~ ten (10) calendar years from the end of the calendar year in which the classification plan was approved.

Recommended Disposition:

Permanent: Transfer to State Archives

NSLAPR staff recommendation:

The retention period meets administrative, archival, and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 2002138:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “a period of” in the retention statement to make a more concise trigger event.

E. Title: Classification Appeals

RDA: 2002115

Description:

~~This record series administers and documents~~ ***These records document*** the appeals of employees ~~to decisions in regarding classification or~~ reclassification and/or pay grade ***decisions*** made by the ~~Department of Personnel, Division of Human Resource Management, or a delegated agency~~ as found in NRS 284.165 and NAC 284.152. The documents represent the administrative hearing process and may include final hearings and decisions made by the Personnel Commission. The files may contain: Appeal of Classification - Occupational Study forms, appeal of Individual PDQ (~~Position Description Questionnaire~~) ***Position Description Questionnaire (PDQ)*** determinations; ~~determination~~ documents with backup material -- from the ~~Department of Personnel Division of Human Resource Management~~ and/or the Personnel Commission, administrative hearing documents, minutes of the Personnel Commission, ~~correspondence and related documents~~ ***associated documentation, and related correspondence.***

Authorized Retention:

Retain ~~files~~ for three (3) calendar years from the ***end of the calendar year in which the*** ~~close or~~ final determination of the case ***is made.***

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 2002115:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “close or.” and replacing it with “end of the calendar year in which the...is made” while removing “files” in the retention statement to make a more defined and accurate trigger event.

F. Title: Compensation Schedules

RDA: 2002139

Description:

~~This record series consists of the~~ ***These records consist of*** master compensation schedules that show the range of wages within each pay grade code for the classified service required by NRS 284.180, ***and the master compensation schedules that show the approximate salaries for each unclassified title code.*** ~~The files may contain:~~ ***The records may include but are not limited to:*** master compensation chart, drafts, memos, backup documentation and ***associated documentation, and*** related correspondence.

Authorized Retention:

Retain for ~~a period of~~ ten (10) calendar years from the end of the calendar year in which the schedule was ~~approved.~~ ***superseded.***

Recommended Disposition:

Permanent: Transfer to State Archives

NSLAPR staff recommendation:

The retention period meets administrative, archival, and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 2002139:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends changing the retention trigger from when the schedule is “approved” to when it is “superseded” in order to create a more accurate trigger event. This should not cause undue financial or storage strain on the agency as these schedules are updated approximately every year. Staff also recommends removing “a period of” in the retention statement to make a more concise trigger event.

G. Title: Examination Development and Validation Files

RDA: 2002140

Description:

~~This record series administers and documents~~ ***These records document*** the research and reviews that are done to create and validate examinations used in the recruiting process conducted by the ~~Department of Personnel~~ ***Division of Human Resource Management.*** ~~The files may contain, but is not limited to:~~ ***The records may include but are not limited to:*** ~~lists of subject matter experts, subject matter expert profiles, etc.; Copies of class specifications, lists of tasks for knowledge, & skills, & abilities, Job Analysis (rating process for knowledge, skills and abilities), etc;~~ ***Examination evaluations with sample testing, test category analysis, examinee evaluations, item analysis of tests, charts, graphs, statistical analysis, reviews, copies of tests*** ***examinations*** that have been developed, ***associated documentation, and related*** correspondence.

Authorized Retention:

Retain ~~this record series for a period of~~ three (3) calendar years from the end of the calendar year in which the ***examinations are*** test resulting from them is discarded and no longer used by the ~~Department of Personnel~~ ***Division of Human Resource Management.***

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 2002140:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “test resulting from them is discarded and...Department of Personnel” and replacing it with “examinations are ... Division of Human Resource Management” while removing “this record series” and “a period of” in the retention statement to make a more defined and accurate trigger event.

H. Title: Individual Classification Study Folders

RDA: 2002141

Description:

~~This record series administers and documents~~ ***These records document*** the process of evaluating changes needed for class specifications due to an individual ***position or group of positions*** requested for upgrade or reclassification as required by ***in accordance with*** NRS 284.160 and NAC 284.126. ~~The record includes but is not limited to: Copies of~~ ***The records may include but are not limited to:*** forms and reports, ~~with supportive material; Audit notes, and~~ workpapers, ~~and;~~ ***associated documentation, and related*** correspondence.

Authorized Retention:

Retain ~~these records~~ for a period of five (5) calendar years ***from the end of the calendar year in which the*** ~~after a new~~ superseding study was reported to the Personnel Commission for action.

Recommended Disposition:

Destroy

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 2002141:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “after a new.” and replacing it with “from the end of the calendar year in which the” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

I. Title: Occupational Studies/Class Specification Maintenance Reviews

RDA: 2002071

Description:

~~This record series administers and documents~~ ***These records document*** occupational studies ***and class specification maintenance reviews*** conducted by the ~~Department of Personnel~~ ***Division of Human Resource Management*** in accordance with NRS 284.139 to 284.172 and NAC 284.126 to 284.152. ~~The record may contain but is not limited to: Copies of~~ ***The records may include but are not limited to:*** forms and reports ~~with supportive material; Audit notes, and~~ workpapers, ~~and;~~ ***associated documentation, and related*** correspondence.

Authorized Retention:

Retain ~~these records for a period of five (5) calendar years~~ *from the end of the calendar year in which the* after a new superseding study *or class specification maintenance review* was reported to the Personnel Commission for action.

Recommended Disposition:

Destroy

NSLAPR staff recommendation:

The retention period meets administrative, and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 2002071:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “after a new.” and replacing it with “from the end of the calendar year in which the ... or class specification maintenance review” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

J. Title: Recruitment Files

RDA: 1987025

Description:

~~This record series is used to document, verify, and control~~ *These records document* the application process for state positions. The ~~files~~ *records* may include but are not limited to: lists for candidates passing, those passing below grade (GBP), scheduled for examination but did not appear (DNA), ~~and rejected applications;~~ applications with associated documentation;~~;~~ addendums, examination materials, schedule notices, grade notifications;~~;~~ Training and Experience forms, ~~Physical P~~performance forms;~~;~~ letters to applicants, list of applicants, *associated documentation*, and; related correspondence.

Authorized Retention:

Retain ~~these records for a period of three (3) calendar years from the~~ *end of the calendar year in which the application was dated.* ~~date of application.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 1987025:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “date of application.” and replacing it with “end of the calendar year in which the application was dated” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

K. Title: Recruitment History Files

RDA: 1987026

Description:

~~This record series is~~ *These records contain* a history of the process of recruiting for a specific job class, including the establishment of criteria for the position, examinations used, and pertinent notes. The records may include but are not limited to: job class specifications;~~;~~ input from the hiring agency;~~;~~ job announcements, announcement formats;~~;~~

applicant history sheets, chronology log sheets, examination plans, statistics and eligible lists, **associated documentation**, and; related correspondence.

Authorized Retention:

Retain ~~these records for a period of~~ three (3) calendar years from the ***end of the calendar year in which the list is issued.*** ~~date of issue of the list.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 1987026:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “date of issue of the list.” and replacing it with “end of the calendar year in which the list is issued” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

L. Title: Oral ***Examination*** Rating Sheets

RDA: 1987024

Description:

These records document the oral examination process of applicants. ~~This record series contain the~~ ***The records may include but are not limited to:*** rating sheets, ~~of an oral examination and the~~ ***comments of the board members,*** ~~pertaining to the candidate’s performance.~~ ***associated documentation, and related correspondence.***

Authorized Retention:

Retain ~~thee records for a period for~~ three (3) calendar years from the ***end of the calendar year in which the*** ~~date of the test-~~ ***examination was conducted.***

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Modification of RDA 1987024:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “date of the test.” and replacing it with “end of the calendar year in which the examination was conducted.” while removing “thee records” and “a period for” in the retention statement to make a more defined and accurate trigger event.

3. Secretary of State, Securities Division

A. Title: Administrative ***Enforcement*** Action ***Record*** ~~Files~~

RDA: 1989228

Description:

These records document formal enforcement actions taken by the Division (See NRS 90.780). ~~The files may contain, but~~

~~are not limited to:~~ ***The records may include but are not limited to:*** ~~Orders, subpoenas, notices, pleadings and similar hearing documentation,~~ ***associated documentation, and***; ~~Related correspondence.~~

Authorized Retention:

Retain ~~these records~~ for a period of six (6) calendar years from the end of the calendar year ***in which the action file was closed.*** ~~to which they pertain.~~

Recommended Disposition:

Destroy

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Secretary of State, Securities Division.

Justification for Modification of RDA 1989228:

Title corrections are to provide a more accurate description of the record series. Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “to which they pertain.” and replacing it with “in which the action file was closed.” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

B. Title: Exemption ***Records*** ~~Files~~

RDA: 1989229

Description:

~~This record series consists of~~ ***These records document*** notices of claims for exemption from registration under Nevada securities law (See NRS 90.520 through 90.560 and NRS 90.780). ~~The files may contain, but are not limited to:~~ ***The records may include but are not limited to:*** ~~Exemption claims with supportive documentation,;~~ ~~Determination records,;~~ ~~Formal notices and findings,;~~ ***associated documentation, and*** ~~Related correspondence.~~

Authorized Retention:

Retain ~~these records~~ for a period of six (6) calendar years from the end of the calendar year ***in which the claim exemption expired.*** ~~to which they pertain.~~

Recommended Disposition:

Destroy

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Secretary of State, Securities Division.

Justification for Modification of RDA 1989229:

Title corrections are to provide a more accurate description of the record series. Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “to which they pertain.” and replacing it with “in which the claim exemption expired.” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

C. Title: Investigative ***Records*** ~~Files~~

RDA: 1989230

Description:

These records document investigations by the Division in determining whether there have been violations of Nevada securities laws (See NRS 90.170, 1987 and NRS 90.780). ~~The files may contain but are not limited to:~~ ***The records may include but are not limited to:*** complaints with associated documentation,; investigation records including reports,; ***associated documentation, and*** Related correspondence.

Authorized Retention:

Retain ~~these records for a period of~~ six (6) calendar years from ***end of the calendar year in which the case closed.*** ~~the close of the case.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Secretary of State, Securities Division.

Justification for Modification of RDA 1989230:

Title corrections are to provide a more accurate description of the record series. Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “the close of the case” and replacing it with “end of the calendar year in which the case closed” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

D. Title: Registration ~~Records Files~~

RDA: 1989232

Description:

These records document the registration of securities (See NRS 90.460 through 90.560 and NRS 90.780). ~~The files may contain, but are not limited to:~~ ***The records may include but are not limited to:*** Registration,; documentation,; ~~Offering circulars,; associated documentation, and~~ Related correspondence.

Authorized Retention:

Retain ~~these records for a period of~~ six (6) calendar years from the ***end of the calendar year in which the registration expired.*** ~~expiration of the registration.~~

Recommended Disposition:

Destroy

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Secretary of State, Securities Division.

Justification for Modification of RDA 1989232:

Title corrections are to provide a more accurate description of the record series. Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “expiration of the registration” and replacing it with “end of the calendar year in which the registration expired.” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

E. Title: Waivers and No-Action Letters ~~Records Files~~

RDA: 1989233

Description:

These records document the requests for waivers and the granting of such waivers advising the soliciting person that the Division staff will not recommend the administrator take any enforcement action if the transaction is carried out under a described set of facts (See NAC 90.316). ~~The files may consist of, but is not limited to:~~ ***The records may include but are not limited to: Requests with supportive documentation, Waivers, No-action letters, associated documentation, and related correspondence.***

Authorized Retention:

Retain ~~these records for a period of~~ six (6) calendar years from the ***end of the calendar year in which the waiver was dated.*** ~~date of inactivation.~~

Recommended Disposition:

Destroy

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Secretary of State, Securities Division.

Justification for Modification of RDA 1989233:

Title corrections are to provide a more accurate description of the record series. Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “date of inactivation.” and replacing it with “end of the calendar year in which the waiver was dated.” while removing “these records” and “a period of” in the retention statement to make a more defined and accurate trigger event.

4. Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations

- A. Title:** ~~Computer Reports for Benefit and Support Services~~ ***Program: Reports Regularly Scheduled***
RDA: 2006188

Description:

~~This~~ ***These*** records series contains ***document*** reports ~~printed either on a regular basis or upon request and used to administer the Benefit and Support Services Program.~~ ***The reports may contain but are not limited to: participant information, participant payment information, participation statistics, vendor payment information, other related expenditure information, associated documentation, and related correspondence.*** ~~These reports include various printouts from the OASIS computer system.~~

Authorized Retention:

Retain ~~these records for a period of~~ three (3) federal fiscal years from the ***end of the federal fiscal year in which the report was submitted.*** ~~date of submission of the quarterly, annual or final expenditure report.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative, fiscal, and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Modification of RDA 2006188:

Staff recommends changing the title to reflect the records being produced more accurately. Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more

accurately and removes procedural notations. In addition, Staff recommends removing “date of submission of the quarterly, annual or final expenditure report.” and replacing it with “end of the federal fiscal year in which the report was submitted, while removing “these records” and “a period of” in the retention statement to make a more consistent and defined trigger event.

B. Title: Eligibility Case Files (District Offices)

RDA: 2002133

Description:

~~This~~ ***These*** records ~~document an applicant's~~ series is used in the administration of the income and eligibility verification process ***for various programs within the Division as*** required by 42 U.S.C. § 1320b-7 of the Federal Social Security Law. ~~The case record may contain more than one file and consist of information in electronic format as well as paper -- the paper file does not necessarily contain all of the information.~~ The records may contain ***but are not limited to:*** applications, Social Security Number verifications from ***the Internal Revenue Service (IRS)***, wage information ~~from submitted by~~ applicants, wage information ~~from submitted by~~ employers, citizenship or immigration status forms, verifications from ***the Immigration and Naturalization Service (INS)***, approval notices, correspondence, memos, referrals, medical/psychological materials, Medicaid forms, and EPDST (Early Periodic Screening, Diagnosis and Treatment) ***(EPDST)*** information, ~~if not in a separate folder.~~ The file may also contain copies of ~~Planning/~~ ***Supplemental Security Income (SSI)*** inventories and assessments, miscellaneous SSI forms and miscellaneous legal materials, ***associated documentation, and related correspondence.***

Authorized Retention:

Retain ~~this record series in paper and/or electronic format~~ for three (3) ***calendar*** years ***from the end of the calendar year in which the case was closed.*** ~~plus thirty days after closure date of the case.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Modification of RDA 2002133:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately and removes procedural notations. Staff recommends the removal of “The case record may contain more than one file and consist of information in electronic format as well as paper -- the paper file does not necessarily contain all of the information” as it is more informational for records users about the nature of the record. Staff also recommends removing “this record series in paper and/or electronic format” and “plus thirty days after closure date of the case.” and replacing it with “from the end of the calendar year in which the case was closed” to establish a more consistent and defined trigger event.

C. Title: Investigation Files: ***Administrative Action***

RDA: 2006184

Description:

~~This~~ ***These*** records ~~series~~ documents the ***investigations*** ~~case files~~ where administrative action is taken ~~in~~ regarding ~~to~~ eligibility for assistance as required by 42 USC s.1396a (see especially (a) # 39) and ***NRS*** Title 38 “Public Welfare” of Nevada Revised Statutes (NRS Chapters 422 through 432B). The ***records*** files may contain ***but are not limited to:*** copies of various computer print outs (including Social Security Administration, IRS, Unemployment Security agencies, etc.), copies of financial documents, ***federal government program documents, supportive documentation from a recipients case file*** ~~copies of documents from recipient files,~~ investigative reports, ***associated documentation, and related correspondence.*** ~~and similar documents.~~

Authorized Retention:

Retain ~~these records for a period of~~ three (3) federal fiscal years from the ***end of the federal fiscal year in which the investigation was submitted and/or closed.*** ~~date of submission of the quarterly, annual or final expenditure report.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative, fiscal, and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Modification of RDA 2006184:

Staff recommends changing the title to reflect the record being produced more accurately and to differentiate it from other similar records series. Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately.

Staff recommends removing “date of submission of the quarterly, annual or final expenditure report” and replacing it with “end of the federal fiscal year in which the investigation was submitted and/or closed.” while removing “these records” and “a period of” in the retention statement to make a more consistent and defined trigger event.

D. Title: Investigation Files: Criminal Action

RDA: 2003195

Description:

~~This~~ ***These*** records series documents the ~~investigations~~ conducted to determine whether benefits or eligibility are appropriate and valid in accordance with the provisions of 42 USC s.1396a and ***NRS*** Title 38 ***"Public Welfare"*** of Nevada Revised Statutes (NRS Chapters 422 through 432B) which were referred the Medicaid Fraud Control Unit or District Attorney for criminal action. ~~The series may include files pertaining to recipients and providers. The records files may include~~ ***but are not limited to*** referrals requesting investigation, copies of computer printouts (from the Social Security Administration, IRS, Unemployment Security agencies, Welfare Division and other state and local government electronic information systems), copies from ***federal, state, and local government program documents***, provider files, copies from recipient files, follow-up forms (documenting reasons for action, discovery, review findings, case information, and staff comments), investigative reports, determinations, ***associated documentation, and*** related correspondence and similar documents.

Authorized Retention:

Retain for a period of six (6) calendar years from the end of the calendar year in which the investigation was closed or otherwise finalized.

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Modification of RDA 2003195:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately and concisely. This is particularly true with regards to the use of the words “copy” and “printout” which are considered non-records for records management purposes. In addition, staff recommends removing “a period of” in the retention statement to make a more concise trigger event.

E. Title: Investigation Files: Dropped & Civil Action

RDA: 2003194

Description:

~~This~~ **These** records series documents the investigations conducted to determine whether benefits or eligibility are appropriate and valid in accordance with the provisions of 42 USC s.1396a and **NRS** Title 38 "Public Welfare" of Nevada Revised Statutes (NRS Chapters 422 through 432B) which were closed through administrative action (dropped due to lack of cause or other similar reasons) or were referred to the Medicaid Fraud Control Unit or District Attorney for civil action. The series may include files pertaining to recipients and providers. The **records** files may include **but are not limited to:** referrals requesting investigation, copies of computer printouts (from the Social Security Administration, IRS, Unemployment Security agencies, Welfare Division and other state and local government electronic information systems), copies from **federal, state, and local government program documents**, provider files, copies from recipient files, follow-up forms (documenting reasons for action, discovery, review findings, case information, and staff comments), investigative reports, determinations, **associated documentation, and** related correspondence and similar documents.

Authorized Retention:

Retain for a period of three (3) calendar years from the end of the calendar year in which the investigation was closed or otherwise finalized.

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Modification of RDA 2003194:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately and concisely. This is particularly true with regards to the use of the words "copy" and "printout" which are considered non-records for records management purposes. In addition, staff recommends removing "a period of" in the retention statement to make a more concise trigger event.

F. Title: *Medical Assistance to the Aged, Blind and Disabled* (MAABD) Service Case **Files**

~~Record~~

RDA: 2002134

Description:

~~This~~ **These** records series **document services provided to customers participating in the** administers the recipients eligible to receive benefits under the "Medical Assistance Aid to the Aged, Blind and Disabled" (MAABD) program authorized by 42 U.S.C. § 1381 et seq. of the Social Security Act. The case record may consist of more than one file and data may exist in electronic format that does not appear on paper. The case file may include **but are not limited to:** (1) MAABD Action Forms including Current Action form, Notice of Decision forms, P/L Notification - forms, (2) Back-up information including MAABD Budget information, Social Security benefit Records, Supplemental Security Income (SSI) Budgets, Home/Community Based Waivers, Prior Medical Requests, Current SDX ("State Data Exchange (SDX) information" - a Vital Statistics download), Eligibility Data Change, Case Transfers, Voluntary Reductions, Withdrawals, or Terminations of Assistance, (3) Medicaid Eligibility including current Medicaid History and Eligibility Document, (4) Correspondence including SDX, IEVS (Income Electronic Verification System), and misc. forms, (5) Conference/Hearings including decisions, hearing summaries, requests for conferences, and misc. correspondence, (6) Case Narratives section includes: Future Action forms, Narrative Record forms, (7) Current RD - Prior RD (RD = Redetermination) section; Original Applications and similar documents, (8) Permanent section including: Current ESD (Employment Security Division (ESD) information) printout,

~~Disability/Incapacity Determination forms, Third Party Medical Coverage forms, Medical/Insurance Subrogation forms, Physician Statement forms, verifications, Asset information, Resource verification, Identification information including copy of Social Security Card, marriage certificates, divorce decrees, death certificates, and Authorized Representatives forms, associated documentation, and related correspondence.~~

Authorized Retention:

Retain ~~this record series in paper and/or electronic format for three (3) calendar years~~ **from the end of the calendar year in which the case was closed.** ~~plus thirty days after closure date of the case.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Modification of RDA 2002134:

Staff recommends the additions to the title to ensure the title is as explanatory as possible regarding the records series. In addition, staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately and removes procedural notations. Staff also recommends removing “this record series in paper and/or electronic format” and “plus thirty days after closure date of the case.” and replacing it with “from the end of the calendar year in which the case was closed” to establish a more consistent and defined trigger event.

G. Title: Supervisory Reviews

RDA: 2003191

Description:

~~These records series document provides management with the review of case files regarding~~ information used to evaluate the effectiveness of eligibility determinations and ~~it documents the compliance of the eligibility staff with federal laws and regulations (see 42 U.S.C. § 1396a (30) for example) and the state plan (see NRS Chapter 422). The records files may consist of~~ **include but are not limited to:** copies of computer reports, reports, **associated documentation, and related correspondence.** ~~related correspondence and similar documents.~~

Authorized Retention:

Retain ~~these records for a period of three (3) federal fiscal years from the end of the fiscal year~~ **in which the review was completed.** ~~to which they pertain.~~

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Modification of RDA 2003191:

Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately. In addition, staff recommends removing “to which they pertain”. and replacing it

with “in which the review is completed” while removing “these records” and “a period of” in the retention statement to make a more defined and concise trigger event.

H. Title: *Temporary Assistance for Needy Families* (TANF) Case Files (District Offices) RDA: 2004071

Description:

~~*These* records *s* series *document* is used by the case worker in the District Offices of the Welfare Division in the administration of the Temporary Assistance for Needy Families (TANF) program as authorized by 42 U.S.C. § § 601 et seq. (Title IV Part A of the Social Security Act). The case record may contain more than one file and consist of information in electronic format as well as paper — the paper file does not necessarily contain all of the information. The record may contain *but are not limited to:* applications, eligibility documents, approval notices, correspondence, memos, referrals, medical/psychological materials, Medicaid forms, copies of computer printouts, and similar documents. *associated documentation, and related correspondence.*~~

Authorized Retention:

Retain ~~this record series~~ for three (3) calendar years from the end of the calendar year in which the case was closed.

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative and legal values.

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Modification of RDA 2004071:

Staff recommends the additions to the title to ensure the title is as explanatory as possible regarding the records series. Staff recommends the additions and deletions to the description to ensure the verbiage encompasses all components of the records series more accurately and removes procedural notations. In addition, Staff recommends removing “this records series” in the retention statement to make a more defined and accurate trigger event.

Discussion and Vote:

Kim Perondi asked about the retention period change for item 2F. Heather Hahn explained that the records were superseded almost every year as it was a living document. The proposals in Attachment C were approved as presented. The motion for item 3 was made by Harry Ward and the second was by Maureen Martinez. Kim Perondi abstained from the vote on item 3 because the modified RDAs were Agency Specific for the Secretary of State’s office; the remaining votes were unanimous for the members present. The motion for items 1, 2, and 4 was made by Harry Ward and the second was by Alisanne Maffei. The vote was unanimous.

6: Attachment D. Proposed Deletion RDAs for Agency Specific Records Retention Schedules

1. The Medical Examiner’s Board

A. Title: ~~Complaint Files~~ —

RDA: 2006443

Description:

~~These records document complaints and investigations concerning license and/or certificate holder that did not result in disciplinary action. The record may contain but is not limited to: Complaint; Investigation documentation; related documentation.~~

Authorized Retention:

~~Retain these records for a period of five (5) calendar years from the close of the case.~~

Recommended Disposition:

~~Destroy Securely~~

Agency review:

The appraisal is supported by the Records Officer and the Deputy Executive Director of the Medical Examiner's Board.

NSLAPR staff recommendation:

Delete this RDA.

Justification for Deletion of RDA 2006113:

The Board and staff recommend deleting this RDA and following the General Schedule RDA 2006054 Licensing: Professional and Occupational Licensing – Investigations, which encompass complaint files. In addition, following the General Schedule in lieu of RDA 2006113 will meet the legal requirements set out in:

NRS 630.307 "General requirements for filing complaint; medical facilities and societies required to report certain information concerning privileges and disciplinary action; administrative fine for failure to report; clerk of court required to report certain information concerning court actions; retention of complaints by Board."

Subsection 7, "The Board shall retain all complaints filed with the Board pursuant to this section for at least 10 years, including, without limitation, any complaints not acted upon."

2. Department of Administration, Human Resource Management, Compensation, Classification and Recruitment

A. Title: ~~Oral Examination Recordings~~

RDA: 4987023

Description:

~~This record series consists of recordings of oral examinations for a state position or advancement (See NRS 284.210 and NAC 284.329 to 284.353.~~

Authorized Retention:

~~Retain these recordings for a period of two (2) calendar years from the date of the examination.~~

Recommended Disposition:

~~Destroy Securely~~

NSLAPR staff recommendation:

Delete this RDA

Agency review:

The appraisal is supported by the Records Officer for the Department of Administration, Human Resource Management, Compensation, Classification and Recruitment.

Justification for Deletion of RDA 1987023:

The Department of Administration, Human Resource Management no longer creates these records, and all records have been destroyed per retention.

3. Secretary of State, Securities Division

A. Title: ~~Athletic Agent Investigation and Disciplinary Files~~

RDA: 2007070

Description:

~~This record series documents complaints, investigations and any disciplinary actions concerning registered athletic agents. The file may contain, but is not limited to: Complaints; Investigation reports (with supporting documentation); Subpoenas; Administrative hearing documentation; Notifications & decrees from the Secretary of State; Related correspondence and similar documentation.~~

Authorized Retention:

~~Retain these records for a period of five (5) calendar years from the close of the case. For complaints that resulted in disciplinary action, retain the records for a period of ten (10) calendar years from the close of the case.~~

Recommended Disposition:

~~Destroy Securely~~

NSLAPR staff recommendation:

Delete this RDA

Agency review:

The appraisal is supported by the Records Officer for the Secretary of State, Securities Division.

Justification for Deletion of RDA 2007070:

This series has two retentions it is recommended this record series be deleted and the agency follow one or more of the following, as applicable: General Schedule: RDA 2006054 "Licensing: Professional and Occupational Licensing- Investigations", and RDA 2018025 "Licensing: Professional and Occupational Licensing- Disciplinary".

B. Title: ~~Athletic Agent Registration Files~~

RDA: 2007069

Description:

~~This record series documents the application, & renewal process, and monitoring of individuals registering as an athletic agent (in state and out of state, see NRS chapter 398). The file may contain, but is not limited to: Original application documentation (which may or may not include a photo); Renewal documentation (including notification, renewal forms, copies of fee payment); Address and contact information; Similar documents and related correspondence.~~

Authorized Retention:

~~Retain the original application documentation and the five (5) most current years of records for a period of five (5) calendar years after expiration of the registration.~~

Recommended Disposition:

~~Destroy Securely~~

NSLAPR staff recommendation:

Delete this RDA

Agency review:

The appraisal is supported by the Records Officer for the Secretary of State, Securities Division.

Justification for Deletion of RDA 2007069:

Staff recommends this record series be deleted and the agency follow one or more of the following, as applicable: General Schedule: RDA 2006054 "Licensing: Professional and Occupational Licensing- Investigations", and RDA 2018025 "Licensing: Professional and Occupational Licensing- Disciplinary".

C. Title: ~~Licensing Files~~

RDA: 4989234

Description:

~~These records document the licensing of broker-dealers, sales representatives and investment advisors (See NRS 90.310 through 90.440, 1987 and NRS 90.780). The files may contain, but are not limited to: Applications with supportive documentation; Determination records; Disciplinary documentation; Related correspondence.~~

Authorized Retention:

~~Retain these records for a period of six (6) calendar years from the expiration of the license.~~

Recommended Disposition:

~~Destroy Securely~~

NSLAPR staff recommendation:

Delete this RDA

Agency review:

The appraisal is supported by the Records Officer for the Secretary of State, Securities Division.

Justification for Deletion of RDA 1989231:

Staff research indicated that retention is based only on 11.190 periods of limitation. There are no other justifications for keeping this series on an agency specific schedule. It is recommended this record series be deleted and the agency follow one or more of the following, as applicable: General Schedule: RDA 2006059 "Licensing: Professional and Occupational Licensing- Application", RDA 2014205 "Licensing: Professional and Occupational Licensing- Renewal", RDA 2006054 "Licensing: Professional and Occupational Licensing- Investigations", and RDA 2018025 "Licensing: Professional and Occupational Licensing- Disciplinary".

**4. Department of Health and Human Services, Division of Welfare and Supportive Services,
Program and Field Operations**

A. Title: ~~Computer Reports for Benefit and Support Services: Statistical~~

RDA: 2006189

Description:

~~This record series contains statistical reports printed either on a regular basis or upon request and used to administer and monitor the Benefit and Support Services Program. The reports include various OASIS printouts.~~

Authorized Retention:

~~Retain these records for a period of three (3) federal fiscal years from the date of submission of the quarterly, annual or final expenditure report.~~

Recommended Disposition:

~~Permanent: Transfer to State Archives~~

NSLAPR staff recommendation:

Delete this RDA

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Deletion of RDA 2006189:

According to the agency, the records produced in this records series are the same as RDA 2006188 Computer Reports for Benefit and Support Services Regularly Scheduled. In addition, the State Archives has determined they no longer want the reports transferred to the Archives for permanent retention as they hold no historical value. Staff recommends the deletion of this records series. All legal and administrative needs will be met with RDA 2006188 Computer Reports for Benefit and Support Services Regularly Scheduled.

B. Title: ~~Investigation Time Studies~~

RDA: 2006185

Description:

~~This record series documents the time utilized by staff in various functions of the Investigation unit and is used for cost allocation purposes. The files consists of the paper copy of the daily activity report completed by staff for various program functions with related correspondence.~~

Authorized Retention:

~~Retain these records for a period of three (3) federal fiscal years from the date of submission of the quarterly, annual or final expenditure report.~~

Recommended Disposition:

~~Destroy~~

NSLAPR staff recommendation:

Delete this RDA

Agency review:

The appraisal is supported by the Records Officer for the Department of Health and Human Services, Division of Welfare and Supportive Services, Program and Field Operations.

Justification for Deletion of RDA 2006185:

According to the agency, due to the adoption of a new tracking system, these records no longer hold any administrative value and therefore are no longer created. Staff recommends the deletion of this records series.

Discussion and Vote:
Maureen Martinez asked about the deletion of item 1A. Heather Hahn explained that the agency would be following the General Schedule and that the 10 year retention required by RDA 2006054 will satisfy the requirements of NRS 630.307. The proposals in Attachment D were approved as presented. The motion for item 3 was made by Harry Ward and the second was by Jerry Lindsay. Kim Perondi abstained from the vote on item 3 because the deleted RDAs were Agency Specific for the Secretary of State's office; the remaining votes were unanimous for the members present. The motion for items 1, 2, and 4 was made by Harry Ward and the second was by Maureen Martinez. The vote was unanimous.

7: Attachment E. Proposed New, Modification, and Deletion of RDAs for General Records Retention Schedule

Discussion and Vote:
As there were no action items, there was no discussion or vote.

8: Discuss future agenda items

Discussion:
The Committee discussed future agenda items to be brought before the Records Committee in a future meeting: General Schedule – Boards and Commissions Financial Transactions and Department of Health and Human Services Division of Welfare and Supportive Services, Administrative Services.

9: Public Comment

There was no public comment made by mail, email, or telephone leading up to or during the meeting.

10: Determine time of next meeting

The next meeting will be held November 17, 2020 at 1:15 pm in the Nevada State Library and Archives Board Room.

11: Adjourn

The meeting was adjourned at 1:49 pm by the Chair, Kim Perondi.